

## **2015-134 AUDIT SCOPE AND OBJECTIVES**

### **City of San Rafael – Residential Building Record Reports**

The audit by the California State Auditor will provide independently developed and verified information related to the city of San Rafael's (San Rafael) and two other cities' policies, procedures, and practices in issuing reports of residential building record (report) prior to the sale or exchange of residential buildings, and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Assess the qualifications, experience, and training of San Rafael staff and staff in the selected cities conducting inspections for the reports.
3. Determine the reasonableness of report fees by reviewing the costs San Rafael and the selected cities incur to issue the reports.
4. For a selection of reports San Rafael and the selected cities issued for residential buildings, assess the effectiveness of each city's applicable policies, procedures, and processes by performing the following:
  - a. Review and evaluate the contents of reports to determine whether they comply with applicable laws, regulations, and policies.
  - b. Determine the length of time from submission of the report application to inspection and report issuance to assess San Rafael and the selected cities' compliance with the timelines contained in each city's respective policies.
5. For a selection of residential buildings resold more than once, evaluate San Rafael's and the selected cities' compliance with relevant laws, regulations, and policies by performing the following:
  - a. Comparatively analyze reports issued for sales of the same buildings to evaluate consistency.
  - b. Based on a review of any complaints related to the selected buildings and a selection of complaints related to other buildings, evaluate San Rafael's and the selected cities' process for resolving such complaints and assess whether their resolutions were based on an objective evaluation of facts.
6. Review and assess any other issues that are significant to the audit.